

FORM PTO-1290 (REV 11-2003)	U S DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 124-892
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U S APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>09/937715</b>
INTERNATIONAL APPLICATION NO. <b>PCT/GB00/01249</b>	INTERNATIONAL FILING DATE <b>31 March 2000</b>	PRIORITY DATE CLAIMED <b>1 April 1999</b> <b>2 September 1999</b>
TITLE OF INVENTION <b>A PHOTONIC CRYSTAL FIBRE AND A METHOD FOR ITS PRODUCTION</b>		
APPLICANT(S) FOR DO/EO/US <b>RUSSELL et al</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The U.S. has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. A copy of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has <b>NOT</b> expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
<p><b>Items 11 To 20 below concern document(s) or information included:</b></p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98, w/PTO-1449 Form, Int'l Search Report and References.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input type="checkbox"/> Other items or information.</p>		



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of

RUSSELL et al

Atty. Ref.: 124-892

National Phase of Int'l Appln. No. PCT/GB00/01249 Group:

(Filed: 31 March 2000)

Examiner:

For: A PHOTONIC CRYSTAL FIBRE AND A METHOD FOR ITS PRODUCTION

\* \* \* \* \*

October 1, 2001

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**PRELIMINARY AMENDMENT**

Please preliminarily amend the above-identified application as follows:

**IN THE CLAIMS**

Please cancel without prejudice claims 21, 28 and 29, and substitute the following amended claims for corresponding claims previously presented. A copy of the amended claims showing current revisions is attached.

3. (Amended) A photonic crystal fibre, as claimed in claim 1, in which the substantially periodic cladding material has a triangular lattice structure.
5. (Amended) A photonic crystal fibre, as claimed in claim 1, in which the regions of higher refractive index consist essentially of silica.
6. (Amended) A photonic crystal fibre, as claimed in claim 1, in which the fraction of air in the cladding is at least 15% by volume based on the volume of the cladding.

8. (Amended) A photonic crystal fibre, as claimed in claim 1 in which the region of lower refractive index is a low pressure region.
9. (Amended) A photonic crystal fibre, as claimed in claim 1, in which the lower index region comprises a material having a non-linear optical response, whereby light may be generated by non-linear processes in the lower-index region.
12. (Amended) An optical device, including photonic crystal fibre according to claim 1.
17. (Amended) A telecommunications system, including a photonic crystal fibre according to claim 1.
18. (Amended) A telecommunications system, including an optical device according to claim 12.
19. (Amended) A telecommunications network including a telecommunications system according to claim 17.
22. (Amended) A method, as claimed in claim 20, in which the cavity has a transverse dimension greater than the corresponding transverse dimension of any of the canes.
24. (Amended) A method, as claimed in claim 20, in which the stack of canes comprises canes which are capillaries.
26. (Amended) A method, as claimed in claim 24, in which the capillaries are filled with a material other than air.
27. (Amended) A photonic crystal fibre made by a method as claimed in claim 20.

30. (Amended) A method of transmitting light along a photonic crystal fibre, the fibre being a fibre as claimed in claim 1.

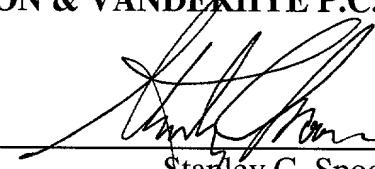
**REMARKS**

The above amendments are made to place the claims in a more traditional format.

Attached hereto is a marked-up version of the changes made to the claims by the current amendment. The attached page(s) is captioned "**Version With Markings To Show Changes Made.**"

Respectfully submitted,

**NIXON & VANDERHYE P.C.**

By: 

Stanley C. Spooner  
Reg. No. 27,393

SCS:tat  
1100 North Glebe Road, 8th Floor  
Arlington, VA 22201-4714  
Telephone: (703) 816-4000  
Facsimile: (703) 816-4100

**VERSION WITH MARKINGS TO SHOW CHANGES MADE**

**IN THE CLAIMS**

3. (Amended) A photonic crystal fibre, as claimed in claim 1 [or claim 2], in which the substantially periodic cladding material has a triangular lattice structure.

5. (Amended) A photonic crystal fibre, as claimed in [any preceding claim] claim 1, in which the regions of higher refractive index consist essentially of silica.

6. (Amended) A photonic crystal fibre, as claimed in [any preceding claim] claim 1, in which the fraction of air in the cladding is at least 15% by volume based on the volume of the cladding.

8. (Amended) A photonic crystal fibre, as claimed in [any preceding claim] claim 1 in which the region of lower refractive index is a low pressure region.

10. (Amended) A photonic crystal fibre, as claimed in [any preceding claim] claim 1, in which the lower index region comprises a material having a non-linear optical response, whereby light may be generated by non-linear processes in the lower-index region.

12. (Amended) An optical device, including photonic crystal fibre according to [any preceding claim] claim 1.

17. (Amended) A telecommunications system, including a photonic crystal fibre according to [any of claims 1 to 11] claim 1.

18. (Amended) A telecommunications system, including an optical device according to [any of claims 12 to 16] claim 12.

19. (Amended) A telecommunications network including a telecommunications system according to [any of claims 17 to 18] claim 17.

22. (Amended) A method, as claimed in claim 20 [or 21], in which the cavity has a transverse dimension greater than the corresponding transverse dimension of any of the canes.

24. (Amended) A method, as claimed in [any of claims 20 to 23] claim 20, in which the stack of canes comprises canes which are capillaries.

26. (Amended) A method, as claimed in claim 24 [or claim 25], in which the capillaries are filled with a material other than air.

27. (Amended) A photonic crystal fibre made by a method as claimed in [any of claims 20 to 26] claim 20.

30[A].(Amended) A method of transmitting light along a photonic crystal fibre, the fibre being a fibre as claimed in [any of claims 1 to 12] claim 1.

PTO/PCT Rec'd 01 OCT 2001

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A photonic crystal fibre and a method for its production.

This invention relates to a photonic crystal fibre, to a method of making a photonic crystal fibre and to a 5 method of transmitting light along a photonic crystal fibre.

Optical fibres are used for transmitting light from one place to another. Normally, optical fibres are made of more than one material. A first material is used to 10 form a central light-carrying part of the fibre known as the core, while a second material surrounds the first material and forms a part of the fibre known as the cladding. Light can become trapped within the core by total internal reflection at the core/cladding interface. 15 Total internal reflection in general causes no losses other than the intrinsic absorptive and scattering losses associated with the materials themselves. Conventional and commercial low-loss optical fibres typically have a total internal reflection structure; however, one 20 limitation of the waveguiding mechanism (which we refer to as "index guiding") is that the refractive index of the material forming the core must be higher than that of the material forming the cladding, in order to achieve total internal reflection. Even if the cladding is air (with a 25 refractive index of approximately unity) the core material must still be a solid material for the fibre to be useful. In practice, using air as the cladding material is normally not advisable, because it does not offer sufficient mechanical or optical protection of the 30 waveguiding core. Thus, conventional optical fibres consist of a solid or liquid core material surrounded by a solid cladding.

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An optical fibre waveguide having a significantly different structure from that of conventional optical fibres has been demonstrated, in which a single microstructured material is used to form the fibre core 5 and cladding. The introduction of morphological microstructure into the fibre - typically in the form of an array of small holes which run down the length of the fibre - alters the local optical properties of the fibre, making it possible to design and fabricate intricate 10 waveguiding structures with most unusual properties. Such a fibre is an example of a photonic crystal fibre.

In one type of photonic crystal fibre, a fibre with a periodic array of air holes in its cross-section and with a single missing air hole in the centre (a "defect" in the 15 crystal structure) forms a low-loss all-silica optical waveguide which remains monomode for all wavelengths within the transmission window of the silica. The waveguiding mechanism in that case is closely related to that in conventional optical fibres and is a form of total 20 internal reflection from a material which has a lower apparent refractive index than that of pure silica.

Another type of waveguiding has also been demonstrated in a photonic crystal fibre with a periodic array of air holes. Light can become trapped in the 25 vicinity of an extra air hole within the photonic crystal lattice (i.e. a "low-index" lattice defect), if the photonic crystal is appropriately designed to exhibit a "photonic band gap". A photonic band gap is a range of parameters - for example, a range of frequencies or wave- 30 vectors - for which light would normally be expected to propagate in the cladding material but where there are no propagating modes due to the detail of the microstruc- turing. In fibres of that type that have been demonstrated

to date (see, for example, J.C. Knight, J. Broeng, T.A. Birks and P. St. J. Russell, "Photonic Band Gap Guidance in Optical Fibres", Science 282 1476 (1998)), light, propagating along a fibre, is trapped in the vicinity of a 5 low-index defect within a fibre with a honeycomb array of air holes, but nonetheless is strongly confined to the high-index phase of the microstructured material. The light is evanescent in the air, so the observed guided mode is concentrated in the silica surrounding the extra 10 air hole at the core.

Guidance of light through hollow fibres in the form of glass capillaries has been demonstrated, but such devices are inherently very leaky.

A long-term goal of our research has been the creation 15 of a band-gap guiding fibre in which light is trapped within an air hole, or some other region of lower refractive index and is guided, without significant leakage, in that region of lower refractive index. Losses resulting from the fibre cladding material could be 20 largely avoided in such an arrangement. That goal has not, however, until now proved attainable.

According to the invention, there is provided a photonic crystal fibre comprising a region of substantially uniform, lower refractive index which is 25 substantially surrounded by cladding which includes regions of higher refractive index and which is substantially periodic, characterised in that the region of lower refractive index has a longest transverse dimension which is longer than a single, shortest, period 30 of the cladding, whereby light can be substantially confined in the lower index region by virtue of a photonic band gap of the cladding material and can be guided along the fibre whilst it is so confined.

We have found that use of a region of lower refractive index which is relatively large enables guidance to be achieved in the region of lower refractive index and we have made a fibre in which light is guided, 5 substantially without leakage, in a hollow core. It will be understood that the region of "lower" refractive index has a refractive index which is smaller in magnitude than the refractive index of the region of higher refractive index.

10 Such a fibre has advantages over other optical fibres; for example, performance may be much less limited by interaction (absorptive or non-linear) between the propagating light and material comprising the fibre. Some light may penetrate the higher-index material to a 15 significant extent, but most light is confined to the region of lower refractive index, which might be, for example, an air hole. Fibres according to the invention could be useful in, for example, telecommunications, environmental sensing and monitoring, high power laser 20 transmission, long wavelength transmission and in other optical devices.

The power-handling capacity of a fibre is limited by non-linear processes in the materials from which they are made. In a fibre where the light is concentrated in air, 25 and only a small proportion of its power is in glass, the power carrying capacity is much greater than in conventional fibres.

Ultra-high power single-mode transmission, possibly even of light which is strongly absorbed by silica glass 30 such as that from a CO<sub>2</sub> laser, is a possible application of such a fibre. High power laser light delivery is another application, which also makes use of the ability of the fibre to transmit much higher power than a

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conventional fibre; delivery of 100 W to 1 kW to a machining head, from a large-frame laser, is, for example, a recurrent need. High power lasers represent an area with broad applications in, for example, high speed 5 printing, laser machining of materials, and possibly surgery; fibre lasers are efficient, offering a high power per kg. Their compactness, and the high quality of the beams they produce, make them very attractive in all kinds of portable laser apparatus.

10 Another application of the fibre of the invention is in telecommunications. The ability of the fibre to carry high powers would allow more light to be launched into one section of a communications link. The link could therefore be longer without optical attenuation making the 15 signal undetectably small. Such a fibre with gain (by erbium doping) could be used as a high power amplifier to act as a repeater for a chain of such links.

Another application might be atom guiding, in which individual atoms are transported along the hollow core, 20 without hitting the walls, by being "carried along" a powerful light beam.

Ultra-long path lengths of light through gases, with a single transverse mode, present significant opportunities for high resolution spectroscopy and sensing applications.

25 Fresnel reflections, which are a problem in fibre devices where light is extracted from a fibre and then re-injected after modulation or amplification, can be very small in the fibre, because the refractive index discontinuity between the outside world and the fibre mode 30 can be tiny. This suggests that bulk optical devices having near-zero insertion loss could be implemented for the first time. In contrast, the index step between a conventional fibre and air always causes some light to be

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reflected at a fibre end face. Not only does this cause loss of light, but unwanted reflections can seriously destabilise any laser sources that they re-enter, and cause optical amplifiers to oscillate as lasers (a highly 5 undesirable event).

Guidance in a lower-index region is possible because the photonic band gap material of the fibre cladding can behave in a manner similar in some respects to a totally reflecting, perfect metal under some circumstances but, 10 unlike real metals, such a quasi-metal exhibits very low losses at optical frequencies. The photonic band gap material behaves like a metal when it exhibits a full two-dimensional photonic band gap; that is, when light propagating with a particular wavevector component along 15 the fibre and at a particular frequency sees, at all azimuthal angles, material having a band gap. Only certain wavelength bands are confined and guided down the fibre, those bands corresponding to the presence of full two-dimensional band gaps in the photonic crystal 20 cladding.

The wavevector component along the waveguide, known as the propagation constant  $\beta$ , determines whether light is propagating or evanescent in any part of the guide. If  $\beta < kn$ , the light propagates at an angle  $\theta$  to the axis in 25 a material of refractive index  $n$ , where  $\beta = kn \cos \theta$  and  $k$  is the vacuum wave constant. If  $\beta > kn$ ,  $\theta$  is imaginary and the light is evanescent. Conventional total internal reflection, with a core of index  $n_1$  greater than the cladding index  $n_2$ , ensures the existence of a range of  $\beta$  30 where light is propagating in the core while being evanescent in the cladding.

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In contrast, light can be confined between two multilayer dielectric stacks in a core of arbitrary refractive index, if the stacks have a photonic band gap for a range of  $\beta$  at a given optical frequency. We 5 identified two distinct regimes of photonic band gap guidance. In the first, light propagates ( $\beta < kn_1$ ) in the layers of high index  $n_1$  but is evanescent ( $\beta > kn_2$ ) in the layers of low index  $n_2$ . The high index layers act as individual total internal reflection waveguides, 10 supporting bound modes at specific values of  $\beta = \beta_m$ . Resonant tunneling between adjacent high-index layers permits leakage of light through them, provided  $\beta$  lies within the pass bands that open up around each  $\beta_m$ . The widths of the pass bands depends on the strength of 15 coupling between the layers. Between the pass bands lie band gaps; if a high-index core layer with a different (maybe smaller) width supports a mode with  $\beta$  inside a band gap, it is not resonant with the other layers and light leakage by tunneling is frustrated. The mode is thus 20 strictly guided by the frustrated tunneling form of photonic band gap guidance.

In the second regime of photonic band gap guidance, light can propagate in all layers ( $\beta < kn_2$ ). Band gaps occur at the Bragg condition as a result of multiple 25 scattering and interference, leading to the Bragg form of photonic band gap guidance.

In both forms of photonic band gap guidance, the refractive index of the core can be chosen much more freely than in total internal reflection guidance, because 30 the photonic band gap conditions depend only on the properties of the cladding stacks. Guided modes can exist with mode indices  $\beta/k$  that are lower than the "mean" index

of the stacks (the frustrated tunneling guidance case) or even lower than the lowest index of the stacks (the Bragg guidance case), conferring extra design freedom over total internal reflection guidance, and allowing confinement  
5 within a hollow core.

The substantially periodic cladding may have a triangular lattice structure. The triangular lattice may comprise air holes in a solid matrix.

Preferably, the regions of higher refractive index  
10 consist essentially of silica. Materials other than silica may also be used, including other silicate glasses and soft glasses of different compositions. The fraction of air in this part of the fibre needs to be relatively large to exhibit a sufficiently broad band gap. Advantageously,  
15 the fraction of air in the cladding is at least 15%, and may be more than 30%, by volume based on the volume of the cladding.

Whilst it is within the scope of the invention to provide a region of lower refractive index that is of  
20 elongate cross-sectional shape, it will generally be preferred for the region to be of generally round cross-section.

It should be understood that the fibre may include more than one region of lower refractive index.

25 Preferably the region of lower refractive index comprises a gas or a vacuum; the region of lower refractive index may be at atmospheric pressure (or even a higher pressure) but it may also be a low pressure region. The gas is preferably air. The substantial confinement of  
30 light to the region of lower refractive index means that the photonic crystal fibre may be capable of transmitting light at powers, and/or at wavelengths, at which it is not possible to transmit light in conventional fibres.

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In an example of the invention described below the region of lower refractive index is of substantially round cross-section and has a diameter that is about 2½ times the shortest period of the cladding. Larger or smaller 5 diameters may, however, be used. Preferably the region of lower refractive index has a longest transverse dimension at least 1.5 times longer, and preferably at least 2 times longer, than a single, shortest period of the cladding.

The actual cross-sectional dimensions of the region 10 of lower refractive index will depend upon the wavelength(s) of light to be guided along the fibre, the period of the cladding and, in some cases, the refractive index of the region of lower refractive index. In an example of the invention described below the region of 15 lower refractive index is of generally round cross-section and has a diameter of about 15  $\mu\text{m}$ . Usually it will be preferred that the region of lower refractive index has a longest transverse dimension of at least 9  $\mu\text{m}$ , and preferably at least 12  $\mu\text{m}$ .

20 A strong interaction may be possible between light in the guided mode and the fluid which may form the lower index waveguiding core; that interaction could be useful, for example, for gas sensing and monitoring. The lower index region may comprise a material having a non-linear 25 optical response, whereby light may be generated or modulated by non-linear processes in the lower index region.

Optical properties of the fibre can be accurately computed once the fibre size is fixed. The photonic band gap of the periodic fibre cladding can extend over a broad 30 range of frequencies; however, in general, the mode will be guided in the lower-index region only over a relatively narrow range of frequencies. The narrowband performance of

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the fibre suggests that it should be useful as a spectral filtering device.

A photonic crystal fibre according to the invention may alternatively be defined in terms of the region of 5 lower refractive index being large enough to support at least one guided transverse mode. Thus according to the invention there is provided a photonic crystal fibre comprising a region of substantially uniform, lower refractive index which is substantially surrounded by 10 cladding which includes regions of higher refractive index and which is substantially periodic, characterised in that the region of lower refractive index is large enough to support at least one guided transverse mode.

Preferably, the photonic crystal fibre is a single-mode fibre. 15

A wide variety of optical devices incorporating a photonic crystal fibre according to the invention can be envisaged. As has been described, such a device could, for example, comprise a sensor that is capable of sensing a 20 property of the gas of which the region of lower refractive index is comprised or it could comprise a spectral filtering device. Other optical devices which could include such a fibre include, for example, an optical amplifier or a laser.

Optical fibres are widely used in the 25 telecommunications industry. A telecommunications system could include an optical fibre according to the invention and such a telecommunications system could be included in a telecommunications network.

Also according to the invention, there is provided a 30 method of making an optical fibre, comprising the following steps:

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- (a) forming a stack of canes, the stack including at least one truncated cane which defines a cavity in the stack;
- (b) drawing the stack into a fibre having an 5 elongate cavity.

Such an approach represents a modification of a fabrication process previously disclosed for photonic crystal fibres; in the known process there are no truncated canes in the stack. However, if canes are 10 removed from the middle of such a stack and, especially if two or more canes that are adjacent to one another are removed, the resulting preform may no longer be stable and self-supporting. Even removing one cane may, however, give rise to a problem. In the method according to the 15 invention, lengths of cane, or bundles of canes, that have the shape and size required for the final hole are embedded within the stack of canes at the opposite ends of the stack. The lengths of those embedded canes are such that they do not meet in the middle of the stack. 20 Instead, a length (which may be approximately 15cm) intermediate the ends of the preform is left with the required large air hole, supported from either end in a stable fashion. After the (complete) preform is drawn down into a fibre (in one or more stages), only the fibre from 25 the central part of the preform is retained.

The method according to the invention could be useful for constructing a wide variety of fibre structures, which would otherwise be difficult to manufacture. Thus the method is not restricted only to a method of making a 30 photonic crystal fibre according to the invention.

It should be understood that the method may involve forming a stack of canes that defines more than one cavity

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in the stack. In that way a fibre with more than one elongate cavity may be formed.

Preferably, the cavity has a transverse dimension greater than the corresponding transverse dimension of any 5 of the canes. The cavity may have a transverse dimension greater than the sum of the corresponding dimensions of any two of the canes.

Preferably, the stack of canes comprises canes which are capillaries, which may form a triangular array. The 10 capillaries may be filled with air or with a material other than air; they may be partially or completely evacuated. The cavity may have a cross-sectional area substantially equal to or greater than the cross-sectional area of a bundle of four, and more preferably a bundle of 15 seven, of the canes.

Also according to the invention there is provided a method of transmitting light along a photonic crystal fibre, the fibre being a fibre as defined above.

By way of example, an embodiment of the invention 20 will now be described, with reference to the accompanying drawings, of which:

Fig. 1 is a schematic cross-section of an optical fibre;

25 Fig. 2 shows part of a preform suitable for making the optical fibre of Fig. 1;

Fig. 3 is a scanning electron microscope photograph of an actual fibre of the kind illustrated schematically in Fig. 1;

30 Fig. 4 shows an emission spectrum recorded from a fibre such as that shown in Fig. 3;

Fig. 5 shows another emission spectrum recorded from a fibre such as that shown in Fig. 3,

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the spectrum in this instance being recorded only for the red spectral region.

Light can be guided in an "air-mode" in a fibre waveguide such as that shown in Fig. 1. The fibre 5 comprises a cladding formed by a triangular array of fused, elongate tubes 1, which have been drawn from silica capillaries and contain longitudinal air holes 2. The capillaries are of circular cross-section resulting in interstitial holes 3 between the tubes 1. The fibre also 10 comprises a core in the form of a large air hole 4 at its centre. The air hole 4 is formed in this example, as described below, by omitting a bundle of seven capillaries from part of the fibre's preform and is therefore the size of seven unit cells of the cladding material; the hole 4 15 is therefore much larger than the holes 2 in the fused tubes 1 and also very much larger than the interstitial holes 3. Fibres formed by omitting just a single cane were observed not to guide modes in the air hole.

It is useful to consider why it is that photonic 20 crystal fibres with similar cladding parameters but with a defect formed by omitting just a single capillary have not been found to support guided modes. The number of guided modes that a conventional fibre can support is determined by the core-cladding index difference and the size of the 25 core. This follows fundamentally from phase-space arguments closely analogous to well-known density-of-states calculations in solid-state physics, and leads to the result that the approximate number of spatial modes in a convention fibre is:

$$N_{\text{conv}} = \frac{r_{\text{co}}^2 k^2 (n_i^2 - n_s^2)}{4} \quad (1)$$

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where  $r_{co}$  is the core radius,  $n_1$  and  $n_2$  the core and cladding refractive indices, and  $k$  the vacuum wavevector. (There are of course two polarization states per spatial mode.) In a hollow-core photonic crystal fibre, a similar expression may be derived for the approximate number of spatial modes present in the hollow core:

$$N_{PBG} = \frac{r_{co}^2(\beta_H^2 - \beta_L^2)}{4} \text{ or } \frac{r_{co}^2(k^2 n_1^2 - \beta_L^2)}{4} \quad (2)$$

where  $\beta_H$  and  $\beta_L$  are the upper and lower edges of the photonic band gap at fixed optical wavelength, and the second expression applies if the upper photonic band gap edge extends beyond the maximum core wavevector, i.e., if  $k^2 n_1^2 < \beta_H^2$ . Theory shows that, for a typical triangular array of air holes in silica, the photonic band gap width  $\Delta\beta = \beta_H - \beta_L$  is a small fraction of its average position  $\beta_{av} = (\beta_H + \beta_L)/2$ . For example, at  $\beta_{av}\Lambda = 9$ ,  $\Delta\beta\Lambda = 0.2$  and taking  $r_{co} = \Lambda/2$  for a single missing stack cane ( $\Lambda$  is the inter-hole spacing) the expected number of spatial modes is 0.23, making it unlikely that any air-guided mode will be seen. On the other hand, if seven stack canes are removed, the hollow core area is increased by a factor of 7, the core radius by a factor of  $\sqrt{7}$  and the expected number of spatial modes becomes 1.61. This suggests that a seven-cane hollow core will support at least a single transverse mode (two polarization states) and perhaps a second transverse mode. These predictions are consistent with our observations that fibres made with a single-cane air hole do not support air-guided modes, whereas those with a seven-cane hole guide light in one or two modes.

The pitch, lattice, and filling fraction of the cladding region are chosen so as to exhibit a 2-dimensional photonic band gap (see, for example, T.A.

Birks, P.J. Roberts, P. St. J. Russell, D.M. Atkin and T.J. Shepherd, "Full 2-d photonic bandgaps in silica/air structures", Electron. Lett. 31 1941 (1995)). Light within the hole 4 is trapped by the photonic band gap of the surrounding material. Consequently, the light cannot propagate away from the fibre core but is constrained to travel along the fibre axis, substantially confined to the core, as a guided mode.

In the fabrication process previously disclosed for photonic crystal fibres, several hundreds of canes, at least some of which may be capillary tubes, are stacked together to form the required crystal structure on a macroscopic scale. Those canes typically have an external diameter of the order of a millimetre. The entire stack is then held together while being fused and drawn down into fibre using an optical fibre drawing tower. That standard procedure will not result in a preform which is stable or self-supporting if it has the required large air hole in the middle.

20 The preform shown in part in Fig. 2 provides a solution to that difficulty. Two truncated lengths 6 of stacked canes, are embedded within the stack of canes 5. The truncated canes 6 are present at both ends of the preform but they do not meet in the middle of the stack.

25 Instead, they define a short cavity 7. The innermost canes 5, which would otherwise collapse into the cavity, are thus supported from both ends in a stable fashion. A transverse cross-section through the full preform, and through the cavity 7, thus has a form similar in shape to

30 the schematic in Fig. 1. The preform is drawn down into fibre (in one or more stages) in the usual manner. Once the fibre has been drawn, only that fibre from the central part of the preform is retained.

The fibre of Fig. 3 was fabricated using this technique. It can be seen that the structural integrity of hole 4 has been maintained in the drawing process. In general, the high quality of the lattice of the fibre of 5 Fig. 3 is striking and the fibre cross-section closely resembles the schematic of Fig. 1. Some defects 9 can be seen, but their influence is not sufficiently deleterious to prevent air-mode guidance in the fibre.

In a particular example of the invention, the fibre 10 is formed from 331 silica capillaries each of circular cross-section and having an external diameter of 0.8 mm and an internal diameter of about 0.7 mm. The capillaries were arranged as described with reference to Fig. 2 with seven capillaries in the centre of the array being omitted 15 over a middle part of their lengths so as to define a cavity of length 15 cm. The preform was drawn into a fibre as described above; the resulting fibre had an external diameter of 90  $\mu\text{m}$  and a central hole 4 of diameter 15  $\mu\text{m}$ .

20 Initial characterisation was carried out by holding ~3 cm long samples vertically, illuminating them from below with white light (using a Tungsten halogen lamp), and observing the light transmitted through them in an optical microscope. The central air core was filled with 25 a single lobe of coloured light, its transverse profile being smooth, peaked in the centre and falling off to very low intensities at the glass-air boundary. A significant amount of white light was present in the periodic cladding, and it was striking how colourless it appeared 30 in comparison to the mode trapped in the core. Different colours of vacuum-guided mode were seen, depending on the overall fibre size and the drawing conditions used. The precise colour was sometimes hard to assign by eye, and in

fact in some cases appeared to be a mixture of different colours, e.g., red and blue. For appropriate excitation with the white light source, a few samples supported a similarly coloured two-lobed mode, which we attribute to a 5 second guided mode falling in the same band gap as the first.

The transmission spectra through the air core of lengths of fibre were measured by linking the microscope via a conventional multimode fibre to an optical spectrum 10 analyser. The spectral dependence of the waveguiding in the air hole demonstrated that several well-defined bands of transmission were present, covering the whole visible spectrum and extending into the infrared. Each of those bands corresponded to a full 2-D photonic band gap, and is 15 related to higher order Bragg conditions in the photonic crystal cladding. Since the pitch of the crystal was large in comparison to the wavelength, the photonic band gaps responsible for the guidance were of high order. By selecting lengths of fibre which had been shown to support 20 a guided mode at appropriate wavelengths, we excited this mode using laser sources. Within each transmission band, losses were small or zero over fibre lengths of several centimetres, whereas between those bands the losses were much larger, as expected in the absence of photonic band 25 gap effects. The length was limited by fluctuations in the fibre parameters, which caused the wavelengths of the guided modes to vary along the length of fibre. In other fibres, which do not support guided modes at that wavelength, the laser light leaked entirely into the 30 cladding after propagating only a fraction of a centimetre.

Laser light guided in the air formed a stable, smoothly varying single lobed pattern in the far field.

By incorporating a guiding length of fibre into one arm of a Mach-Zehnder interferometer, we confirmed that the laser light transmitted through the guiding core had a high degree of spatial coherence, giving high visibility 5 fringes at the interferometer output. That would not be the case if there were many waveguide modes excited in the fibre core.

The optical transmission spectra of the fibre were examined and are shown in Figs. 4 and 5 in each of which 10 transmitted intensity is plotted against wavelength. The optical transmission spectra shown in Figs. 4 and 5, demonstrate that the fibre supports air-modes at a number of wavelengths; there are strong transmission peaks around 490 nm, 610 nm and 810 nm. There also appears to be, in 15 Fig. 4, evidence of ultra-violet transmission at around 440 nm. It may be noted that the transmission pass-bands are narrow compared with those of conventional optical fibres.

In the example of the invention described with 20 reference to the drawings the region of lower refractive index is air and the fibre is made by forming a stack of canes which includes truncated canes to define a cavity in the stack. It is within the scope of the invention for the cavity in the stack to be filled partly or completely 25 with a material other than air and/or with one or more canes of lower refractive index than the canes used to form the cladding.

Where reference is made in this specification to "light" it should be understood that the term "light" 30 includes electromagnetic radiation at frequencies outside the visible spectrum.

Claims

1. A photonic crystal fibre comprising a region of substantially uniform, lower refractive index which is substantially surrounded by cladding which includes regions of higher refractive index and which is substantially periodic, characterised in that the region of lower refractive index has a longest transverse dimension which is longer than a single, shortest, period of the cladding, whereby light can be substantially confined in the lower index region by virtue of a photonic band gap of the cladding material and can be guided along the fibre whilst it is so confined.
- 15 2. A photonic crystal fibre, as claimed in claim 1, in which the region of lower refractive index comprises a gas or a vacuum.
3. A photonic crystal fibre, as claimed in claim 1 or claim 2, in which the substantially periodic cladding 20 material has a triangular lattice structure.
4. A photonic crystal fibre, as claimed in claim 3, in which the triangular lattice comprises air holes in a solid matrix.
5. A photonic crystal fibre, as claimed in any preceding 25 claim, in which the regions of higher refractive index consist essentially of silica.
6. A photonic crystal fibre, as claimed in any preceding claim, in which the fraction of air in the cladding is at least 15% by volume based on the volume of the 30 cladding.
7. A photonic crystal fibre, as claimed in claim 6, in which the region of the lower refractive index comprises air.

- 20 -

8. A photonic crystal fibre, as claimed in any preceding claim in which the region of lower refractive index is a low pressure region.
9. A photonic crystal fibre, as claimed in any preceding 5 claim, in which the lower index region comprises a material having a non-linear optical response, whereby light may be generated by non-linear processes in the lower-index region.
10. A photonic crystal fibre comprising a region of 10 substantially uniform, lower refractive index which is substantially surrounded by cladding which includes regions of higher refractive index and which is substantially periodic, characterised in that the region of lower refractive index is large enough to 15 support at least one transverse mode.
11. A photonic crystal fibre as claimed in claim 10, which is a single-mode fibre.
12. An optical device, including photonic crystal fibre according to any preceding claim.
- 20 13. An optical device, as claimed in claim 12, comprising a spectral filtering device.
14. An optical device, as claimed in claim 12, comprising an optical amplifier.
15. An optical device, as claimed in claim 12, comprising 25 a laser.
16. An optical device, as claimed in claim 12, comprising a sensor that is capable of sensing a property of the gas of which the region of lower refractive index is comprised.
- 30 17. A telecommunications system, including a photonic crystal fibre according to any of claims 1 to 11.
18. A telecommunications system, including an optical device according to any of claims 12 to 16.

- 21 -

19. A telecommunications network including a telecommunications system according to any of claims 17 to 18.
20. A method of making a photonic crystal fibre,  
5 comprising the following steps:
  - (a) forming a stack of canes, the stack including at least one truncated cane which defines a cavity in the stack;
  - (b) drawing the stack into a fibre having an  
10 elongate cavity.
21. A method, as claimed in claim 20, in which the optical fibre is a fibre according to any one of claims 1 to 8 or 10 to 11.
22. A method, as claimed in claim 20 or 21, in which the  
15 cavity has a transverse dimension greater than the corresponding transverse dimension of any of the canes.
23. A method, as claimed in claim 22, in which the cavity has a transverse dimension greater than the sum of the  
20 corresponding dimensions of any two of the canes.
24. A method, as claimed in any of claims 20 to 23, in which the stack of canes comprises canes which are capillaries.
25. A method, as claimed in claim 24, in which the  
25 capillaries form a triangular array.
26. A method, as claimed in claim 24 or claim 25, in which the capillaries are filled with a material other than air.
27. A photonic crystal fibre made by a method as claimed  
30 in any of claims 20 to 26.
28. A method of making a photonic crystal fibre substantially as described herein, with reference to the drawings.

- 22 -

29 A photonic crystal fibre substantially as described herein, with reference to the drawings.

30A method of transmitting light along a photonic crystal fibre, the fibre being a fibre as claimed in any of  
5 claims 1 to 12.

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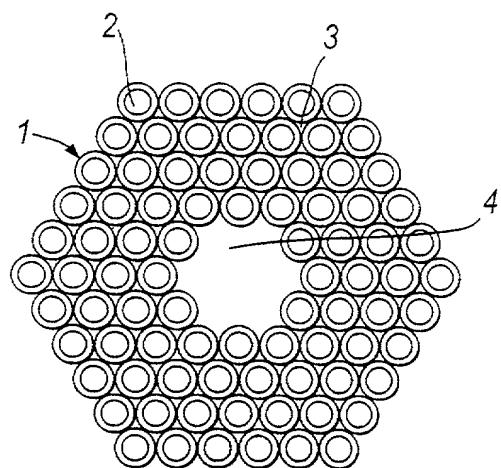


Fig.1

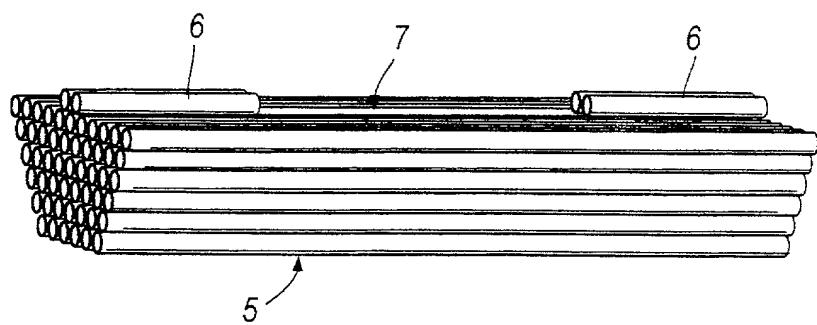


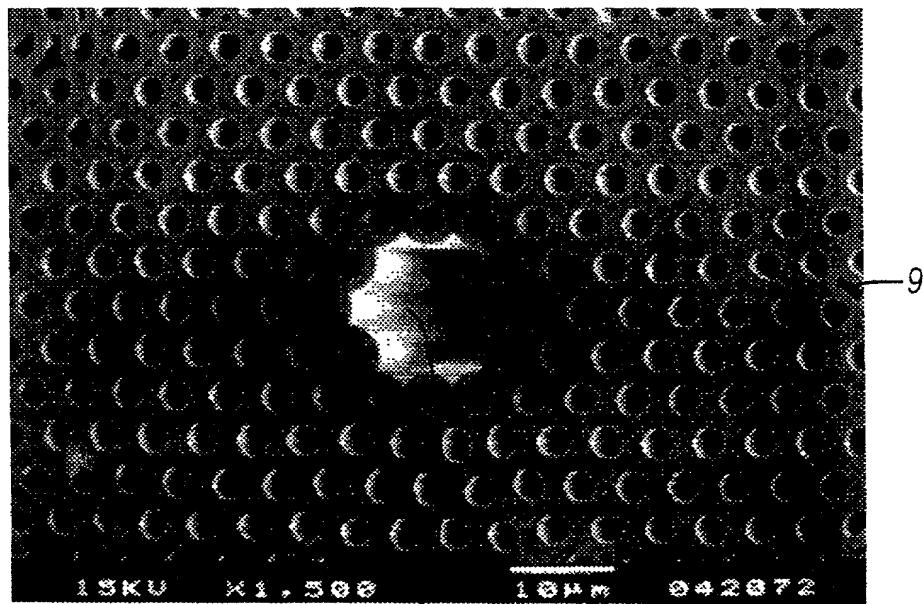
Fig.2

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4

Fig.3

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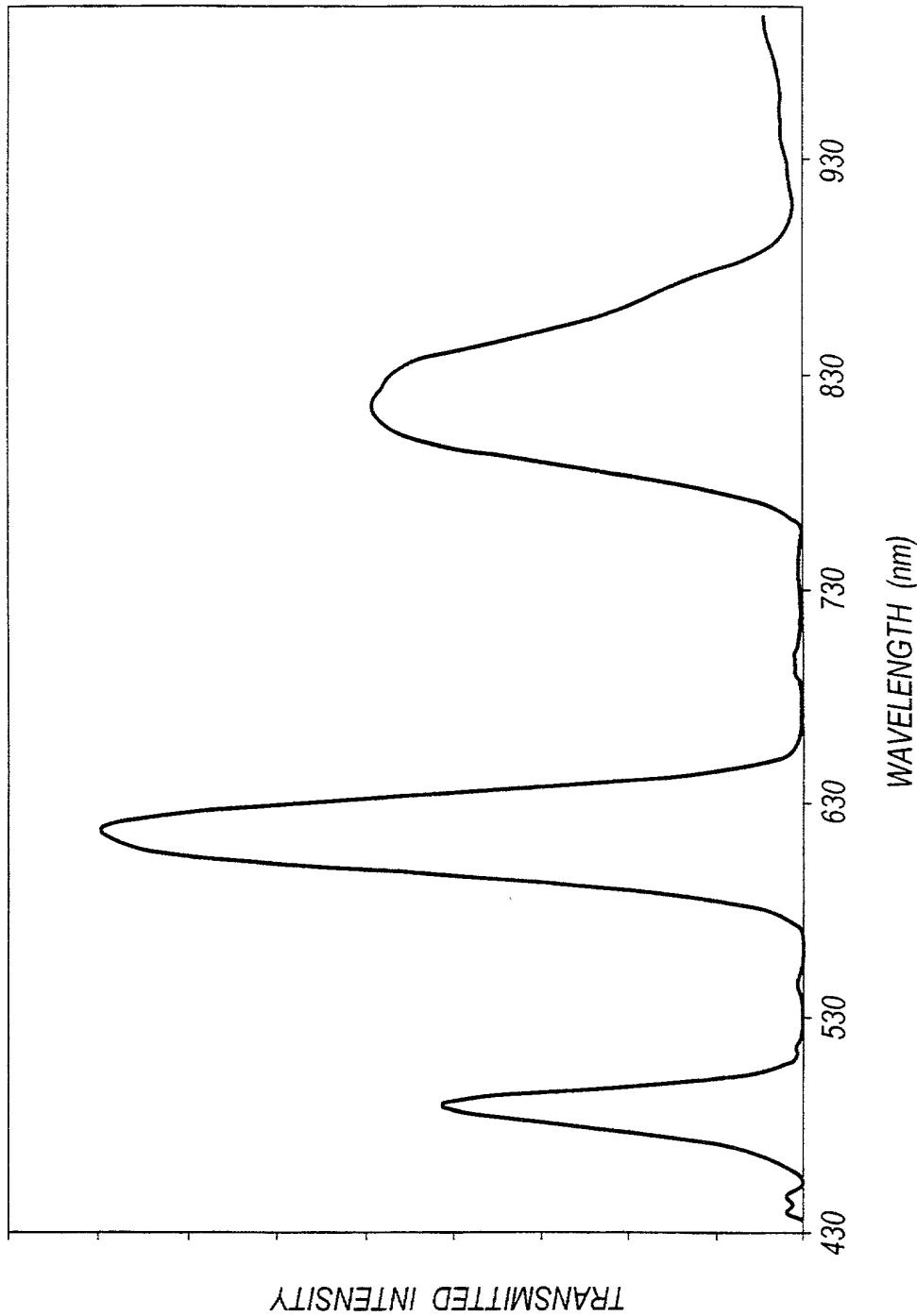
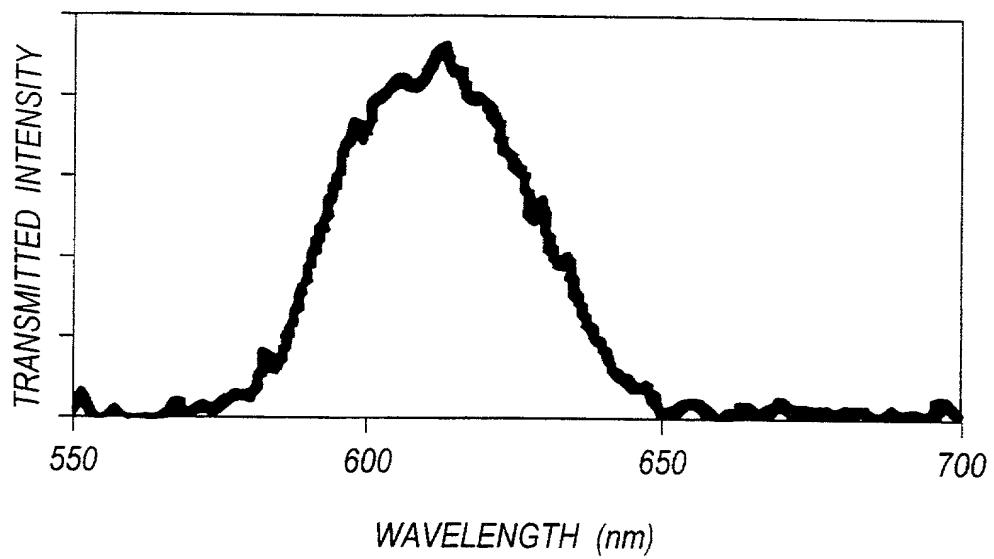


Fig. 4

4/4



*Fig.5*

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**A Photonic Crystal Fibre and a Method for its Production**

the specification of which (check applicable box(s))

is attached hereto  
 was filed on \_\_\_\_\_ as U.S. Application Serial No. \_\_\_\_\_ Atty Dkt. No. P2828/USW  
 was filed as PCT International application No. PCT/GB00/01249 on 31<sup>st</sup> March 2000

and (if applicable to U.S. or PCT application) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

Priority Foreign Application(s):

Application Number	Country GB	Day/Month/Year Filed
9907655.6	GB	01-Apr-1998

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

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Prior U.S./PCT Application(s):  

Application Serial No.	Day/Month/Year Filed	Status: patented pending, abandoned
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PCT/GB00/01249	31 <sup>st</sup> March 2000	PENDING
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint **NIXON & VANDERHYE P.C., 1100 North Glebe Rd., 8<sup>th</sup> Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed)**, and the following attorneys thereof (at the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30184; Robert W. Faris, 31352; Richard G. Basha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Speener, 27393; Leonard C. Mitchell, 29009; Duane M. Byers, 33383; Jeffry H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam, Jr. 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32955; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffin, 31260; Robert A. Molan, 29834; B. J. Sadoff, 36663; James D. Berquist, 34778; Updeep S. Gill, 37334; Michael J. Shea, 34725; Donald L. Jackson, 41090; Michelle N. Lester, 32331.

1. Inventor's Signature. M. Russell Date: 14 JAN 2002  
 Inventor: Philip (first) S (last) RUSSELL  
(last) GB (citizenship)

Residence: (city) Beth (first) GB3 (last) MI (state/country) GB  
 Post Office Address: Shepherds Mead, Southstoke, Bath  
 (Zip Code) BA2 7EB

2. Inventor's Signature  
 Inventor: Timothy (first) A (last) BIRKS  
(last) GB (citizenship)  
 Residence: (city) Bath (first) MI (last) GB  
 Post Office Address: 14 Horsecombe Brow, Combe Down, Bath  
 (Zip Code) BA2 8QY

FOR ADDITIONAL INVENTORS, check box  and attach sheet with same information and signature and date for each.

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Page 2

3.	Inventor's Signature				Date.	
	Inventor:	Jonathan (first)	C MI	KNIGHT (last)	GB (citizenship)	
	Residence: (city)	Bath		(state/country)	GB	
	Post Office Address:	Canteen Cottage, Canteen Lane, Wellow, Bath				
	(Zip Code)	BA2 8PY				
4.	Inventor's Signature				Date	
	Inventor:	Brian (first)	J MI	MANGAN (last)	GB (citizenship)	
	Residence: (city)	Bath		(state/country)	GB	
	Post Office Address:	2 Station Road, Lower Weston, Bath				
	(Zip Code)	BA1 3DX				
5.	Inventor's Signature				Date	
	Inventor:					
	Residence: (city)	(first)	MI	(last)	(citizenship)	
	Post Office Address:				(state/country)	
	(Zip Code)					
6.	Inventor's Signature				Date	
	Inventor:					
	Residence: (city)	(first)	MI	(last)	(citizenship)	
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	Inventor:					
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	(Zip Code)					
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	Residence: (city)	(first)	MI	(last)	(citizenship)	
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	(Zip Code)					
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	(Zip Code)					
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Nixon &amp; Vanderhye P.C. (12/95)

Page 2

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Inventor:	Jonathan	C	KNIGHT	GB	
Residence: (city)	(first)	MI	(last)	(citizenship)	
Post Office Address:	Bath		(state/country)	GB	
(Zip Code)	Canteen Cottage, Canteen Lane, Wellow, Bath				
	BA2 8PY				
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Residence: (city)	(first)	MI	(last)	(citizenship)	
Post Office Address:	Bath		(state/country)	GB	
(Zip Code)	2 Station Road Lower Weston, Bath				
	BA1 3DX				
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the specification of which (check applicable box(s)):

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1.	Inventor's Signature:	Date:		
	Inventor:	Philip (first)	S MI	RUSSELL (last)
	Residence: (city)	Bath	(state/country)	GB (citizenship)
	Post Office Address:	Shepherds Mead, Southstoke, Bath		
	(Zip Code)	BA2 7EB		
2.	Inventor's Signature:	Date:		
	Inventor:	Timothy (first)	A MI	BIRKS (last)
	Residence (city)	Bath	(state/country)	GB (citizenship)
	Post Office Address	14 Horsecombe Brow, Combe Down, Bath		
	(Zip Code)	BA2 5QY		

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Application Serial No.	Day/Month/Year Filed	Status: patented pending, abandoned
PCT/GB00/01249	31 <sup>st</sup> March 2000	PENDING

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint NIXON & VANDERHYE P.C., 1100 North Glebe Rd., 8<sup>th</sup> Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed), and the following attorneys (thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent. Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30184; Robert W. Faris, 31352; Richard G. Basha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29009; Duane M. Byers, 33363; Jeffry H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam, Jr 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32955; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffin, 31260; Robert A. Molan, 29834; B. J. Sadoff, 36663; James D. Berquist, 34776; Updeep S. Gill, 37334; Michael J. Shea, 34725; Donald L. Jackson, 41090; Michelle N. Lester, 32331

1.	Inventor's Signature:	Date: _____			
	Inventor: Philip (first) S RUSSELL Date: _____	GB (citizenship)			
	Residence: (city) Bath MI (last) _____	GB _____			
	Post Office Address: Shepherds Mead, Southstoke, Bath (state/country) _____	GB _____			
	(Zip Code) BA2 7EB _____	GB _____			
2.	Inventor's Signature:	Date: _____			
	Inventor: Timothy (first) A BIRKS Date: _____	GB (citizenship)			
	Residence: (city) Bath MI (last) _____	GB _____			
	Post Office Address: 14 Horsecombe Brow, Combe Down, Bath (state/country) _____	GB _____			
	(Zip Code) BA2 5QY _____	GB _____			

FOR ADDITIONAL INVENTORS, check box  and attach sheet with same information and signature and date for each.

Nixon &amp; Vanderhye P.C. (12/95)

**RULE 63 (37 C.F.R. 1.63)**  
**DECLARATION AND POWER OF ATTORNEY**  
**FOR PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**A Photonic Crystal Fibre and a Method for its Production**

the specification of which (check applicable box(s))

is attached hereto

was filed on

was filed as PCT International application No.

as U.S. Application Serial No.

PCT/GB00/01249

on 31<sup>st</sup> March 2000

Atty Dkt No P2828/USW

and (if applicable to U.S. or PCT application) was amended on

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

Priority Foreign Application(s):

Application Number	Country	Day/Month/Year Filed
9907655.8	GB	01-Apr-1999

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

Application Number	Date/Month/Year Filed
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I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed above and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior applications and the national or PCT international filing date of this application.

Prior U.S./PCT Application(s):

Application Serial No.	Day/Month/Year Filed	Status: patented pending, abandoned
PCT/GB00/01249	31 <sup>st</sup> March 2000	PENDING

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint NIXON & VANDERHYE P.C., 1100 North Glebe Rd., 8<sup>th</sup> Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed), and the following attorneys thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30484; Robert W. Faris, 31352; Richard G. Basha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29008; Duane M. Byers, 33363; Jeffry H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam, Jr. 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32855; J. Scott Davidson, 33489; Alan M. Kegen, 36178; William J. Griffin, 31260; Robert A. Molan, 29834; B. J. Sadoff, 36663; James D. Berquist, 34776; Updeep S. Gill, 37334; Michael J. Shea, 34725; Donald L. Jackson, 41090; Michelle N. Lester, 32331.

1. Inventor's Signature:

Inventor:	Philip (first)	S MI	RUSSELL (last)	Date: _____
Residence: (city)	Bath	(state/country) GB		GB (citizenship)
Post Office Address.	Shepherds Mead, Southstoke, Bath			
(Zip Code)	BA2 7EB			

2. Inventor's Signature:

Inventor:	Moony (first)	A MI	BIRKS (last)	Date: 8 Jan 2002
Residence: (city)	Bath	(state/country) GB		GB (citizenship)
Post Office Address.	14 Horscombe Brow, Combe Down, Bath			
(Zip Code)	BA2 5QY			

FOR ADDITIONAL INVENTORS, check box  and attach sheet with same information and signature and date for each.

**RULE 63 (37 C.F.R. 1.63)**  
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Nixon &amp; Vanderhye P C. (12/95)

Page 2

3. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

*Jonathan Knight*  
 Jonathan MI Knight  
 Bath GB (state/country) GB  
 Canteen Cottage, Canteen Lane, Wellow, Bath  
 BA2 8PY

Date 10 January 2002  
 GB  
 (citizenship)

4. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

Brian J MANGAN  
 (first) MI (last)  
 Bath GB (state/country) GB  
 2 Station Road, Lower Weston, Bath  
 BA1 3DX

Date: \_\_\_\_\_  
 GB  
 (citizenship)

5. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

6. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

7. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

8. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

9. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

10. Inventor's Signature:

Inventor:

Residence: (city)

Post Office Address:

(Zip Code)

(first) MI (last)  
 (state/country) \_\_\_\_\_  
 \_\_\_\_\_ (citizenship)

Date: \_\_\_\_\_

**RULE 63 (37 C.F.R. 1.63)**  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Nixon &amp; Vanderhye P C (12/95)

Page 2

3. Inventor's Signature:  
Inventor:

Jonathan (first)	C MI	KNIGHT (last)	Date: _____
Bath	(state/country) GB		GB (citizenship)
Canteen Cottage, Canteen Lane, Wellow, Bath			
BA2 8PY			

4. Inventor's Signature:  
Inventor:

<i>B. M.</i> HJD	J MI	MANGAN (last)	Date: 10/10/01
Bath	(state/country) GB		GB (citizenship)
2 Station Road, Lower Weston, Bath			
BA1 3DX GB3			

5. Inventor's Signature:  
Inventor:

(first)	MI	(last)	Date: _____
(state/country) _____ (citizenship) _____			
Residence: (city) _____			
Post Office Address: _____			
(Zip Code) _____			

6. Inventor's Signature:  
Inventor:

(first)	MI	(last)	Date: _____
(state/country) _____ (citizenship) _____			
Residence: (city) _____			
Post Office Address: _____			
(Zip Code) _____			

7. Inventor's Signature:  
Inventor:

(first)	MI	(last)	Date: _____
(state/country) _____ (citizenship) _____			
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(Zip Code) _____			

8. Inventor's Signature:  
Inventor:

(first)	MI	(last)	Date: _____
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(Zip Code) _____			

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Inventor:

(first)	MI	(last)	Date: _____
(state/country) _____ (citizenship) _____			
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(Zip Code) _____			

10. Inventor's Signature:  
Inventor:

(first)	MI	(last)	Date: _____
(state/country) _____ (citizenship) _____			
Residence: (city) _____			
Post Office Address: _____			
(Zip Code) _____			